

DEPARTMENT OF SOCIAL SERVICES

744 P Street, Sacramento, CA 95814
(916) 322-9377



August 11, 1986

ALL-COUNTY LETTER NO. 86-76

TO: ALL COUNTY WELFARE DIRECTORS

SUBJECT: RECORDS RETENTION

This All-County Letter is a reminder of the legal requirements for records retention and the identification of the exceptions which require extended retention periods for certain records.

A. Public Assistance Records

The Manual of Policies and Procedures (MPP) sets forth various retention periods for public assistance records. Generally, the regulations require that all public assistance (23-353), social service (10-119.2), and administrative claiming (25-815.38) records and their supporting documents be retained for three years from the date the state submits the last expenditure report to the Department of Health and Human Services (HHS). Case record material must be retained for three years after the date the last state expenditure report has been made to HHS for the period the records were last used to document eligibility. MPP Sections 23-353 through 23-356 set forth the requirements for certain records which have retention periods which vary from the general rule. While the regulations must be reviewed for a complete listing, the most common varying items are listed below. Some records require retention periods of more than three years. These include:

1. Records and their supporting documents must be retained when there is an open federal or state audit. This includes those unresolved federal audits listed on Attachment I and the State Controller's Office audits on Attachment II. Counties are to inform contractors providing social services to retain all necessary records for audits which have not been resolved/closed.
2. Records involved in pending criminal or civil litigation or court orders may require extended retention periods. In addition to cases to which the county is involved, Attachment III is a listing of court cases involving the State Department of Social Services (DSS) which necessitate extended retention of certain records.

3. County welfare warrants must be retained for five years. Warrant registers must be retained for 15 years.
4. The county shall retain Form ABCD 278L or its equivalent for a period of ten years following closure in all cases where notification to do so by the child support agency has been received.

Other records may be considered as nonessential and need not be retained in the case records. Listed below are examples of those documents which may be purged from the case records:

1. Documents or evidence (original or photocopies) provided by the recipient, such as birth certificates and divorce papers, may be purged (Manual of Policies and Procedures Section 46-001.112) provided that there is a written record of the type of evidence and its pertinent content. This notation would normally be made in the case narrative. Documents received should then be returned to the applicant/recipient.
2. Documents which were never used to document eligibility may be destroyed provided they have no potential of being used to take action on a case. For example, a note from an applicant canceling a meeting may be needed as evidence, should you determine a denial is appropriate based on noncooperation. However, once the meeting has taken place the note would be of no value and may be destroyed.
3. Records which were used to document eligibility may be destroyed provided three years have passed since the last state expenditure report for that period has been submitted to the HHS. These records must be retained longer when there are unresolved audits or court cases.

B. Food Stamp Records

There are two separate retention requirements for Food Stamp (FS) Program records. First, all issuance and program records are to be retained for a period of three years from the month of origin. Second, all fiscal and accountable documents are to be retained for three years from the date of fiscal or administrative closure. This means that records such as, but not limited to Authorization to Participate (ATP), cashier's daily reports, Notices of Change, Form FNS-250s, "Food Stamp Accountability Report" HIR cards, and tally sheets shall be retained for three years. However, any documents or records which are involved in any billing or claim shall be retained for three years from the date of fiscal or administrative closure. For example, FNS-250 Reports which do not result in a billing against the state agency shall be retained three years from the month of origin. But, FNS-250 Reports which result in a billing must be retained for three years from the date that obligations for or against the federal government have been

liquidated. Also, any records or documents which are involved in a fiscal audit or investigation must be retained for three years from the date the audit or investigation is closed. To illustrate this point further, if an FNS-250 Report which originated prior to April 1981 had fiscal liabilities which were not settled until July 1983, that FNS-250 Report cannot be destroyed until August 1986. But, on the other hand, if the same FNS-250 Report had no fiscal involvement, it could be destroyed as of May 1984.

Some records require retention periods of more than three years. These include:

1. If the FS records are a part of an assistance case record, they must be retained in accordance with MPP Chapter 23-350. (See Part A of this letter.)
2. Records and their supporting documents for which there is an open federal or state audit must be retained. This includes those unresolved audits listed on Attachments I and II.
3. Records involved in pending criminal or civil litigation or court orders may require extended retention periods. In addition to cases in which the county is involved, Attachment III is a listing of court cases involving DSS which necessitate extended retention of certain records.

The provisions of this letter are for the fiscal purposes of DSS and do not authorize the destruction of those records which have a longer retention period required by other laws/regulations, court cases, or unresolved audits.

Again we would appreciate any comments or questions regarding records retention by submitting them to Barbara Sakamoto, Records Management, 744 P Street, M.S. 7-179, Sacramento, CA 95814, or by calling (916) 445-6239.



ROBERT T. SERTICH
Deputy Director
Administration Division

Attachments

cc: CWDA

This letter supersedes All-County Letter 86-18.

FEDERAL AND OUTSIDE AUDITS

Programs Administered by
Department of Health and Human Services

Status as of: 6/16/86
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ID Number	Description	Audit/Review Period (1)	Audit Agency	State/County Agencies Affected	Exception Amount (2)	Records Required to Be Retained
20272	WIN	10/1/78 - 3/31/81	HHS	Alameda Contra Costa Los Angeles Sacramento San Bernardino San Francisco	\$ 581,382	A
30606-09 (follow-up of 00255)	Uncashed Warrants	1/1/77 - 12/31/79	HHS	San Francisco Santa Clara	N/A	B
60265	Cuban Refugee Assistance Costs	7/70 - 6/74	HEW (HHS)	Los Angeles	\$ 1,850,588	B
70232	BHI - Eligibility	7/73 - 3/76	HEW (HHS)	San Bernardino	\$ 68,274	B
80259	BHI - Eligibility	4/1/75 - 7/31/76	HEW (HHS)	Santa Barbara	\$ 77,911	B
70231 (60231)	BHI - Eligibility	4/1/75 - 7/31/76	HEW (HHS)	Ventura	\$ 77,051	B
50260-09	Refugee Resettlement Program	4/1/81 - 9/30/82	HHS	San Francisco Los Angeles San Diego Sacramento Orange Alameda Santa Clara	\$ 33,753,588	A/B

- (1) If a single date is listed, it will be the date of the audit report.
 (2) Federal share only unless otherwise noted.
 A Case records, payment records, and audit-related materials.
 B Case records, assistance claims, and audit-related materials.

FEDERAL AND OUTSIDE AUDITS

Programs Administered by
Department of Health and Human Services

Status as of: 6/16/86

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ID Number	Description	Audit Review Period (1)	Audit Agency	State/County Agencies Affected	Exception Amount (2)	Records Required to Be Retained
10262	Public Assistance Adm. Costs (Resolution of SCO Audit)	7/1/75 - 12/3/78	HHS	Los Angeles San Diego Santa Clara Fresno San Bernardino	\$ 2,278,142	A/B
50267	Food Stamp Program Costs	4/1/69 - 6/30/74	HHS	San Bernardino	\$ 414,455(3)	C
50268	included in cost allo- cation plan	3/1/69 - 6/30/74	HHS	San Diego	\$ 566,178(3)	C
50271	disallowed by HHS	7/1/68 - 6/30/74	HHS	San Joaquin	\$ 237,322(3)	C
20144	"	7/1/67 - 12/31/70	HHS	38 Counties(4)	\$ 3,279,707(3)	C
50250	"	1/1/71 - 3/31/74	HHS	San Mateo	\$ 52,400(3)	C
50266	"	1/1/67 - 6/30/74	HHS	Los Angeles	\$ 1,773,081(3)	C
50262	"	7/1/67 - 6/30/74	HHS	Kern	\$ 179,484(3)	C
50263	"	7/1/67 - 6/30/74	HHS	Tulare	\$ 137,556(3)	C

- (1) If a single date is listed, it will be the date of the audit report.
 (2) Federal share only unless otherwise noted.
 (3) Original exception amounts shown. In most cases, final amounts should be substantially smaller.
 (4) See Attachment IA.
 A Case records, payment records, and audit-related materials.
 B Case records, assistance claims, and audit-related materials.
 C Administrative claims and audit-related materials.

FEDERAL AND OUTSIDE AUDITSFood Stamp Program
USDA/FNSStatus as of: 6/16/86
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ID Number	Description	Audit Review Period (1)	Audit Agency	State/County Agencies Affected	Exception Amount (2)	Records Required to Be Retained
50264	"	1/1/71 - 9/30/71	HHS	31 Counties(5)	\$ 1,428,838(3)	C
60274 (50274)	"	1/1/67 - 6/30/74	HHS	San Francisco	\$ 216,900(3)	C
10273	Food Stamp Certification Costs	10/1/71 - 6/30/72	HHS	34 Counties(6)	\$ 4,290,534	C
2716- 26-SF	Food Stamp Audit Certification Errors	11/77 - 1/78	USDA/OA	Alameda	\$123,154.68	D
2714- 260-SF	Food Stamp Audit Cash and Coupons	11/72 - 3/74	USDA/OA	Los Angeles	\$ 93,451.00	D
2744- 104	Food Stamp Investigation	10/19/77	USDA/OIG	Madera	\$ 37,607.00	D
2744- 77-SF	Food Stamp Investigation SAEOC	5/10/75 - 5/12/75 (2 days)	USDA/OIG	Sacramento	\$ 16,673.00	D
27642 1-HY	Food Stamp Audit Issuance and Redemption	2/81 - 1/82	USDA/OA	San Bernardino	\$ 412.00	E

- (1) If a single date is listed, it will be the date of the audit report.
 (2) Federal share only unless otherwise noted.
 (3) Original exception amounts shown. In most cases, final amounts should be substantially smaller.
 (5) See Attachment IB.
 (6) See Attachment IC.
 C Administrative claims and audit-related materials.
 D Retain Food Stamp Reports, FNS-250.
 E Retain Food Stamp fiscal records.

FEDERAL AND OUTSIDE AUDITSFood Stamp Program
USDA/FNSStatus as of: 6/16/86
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ID Number	Description	Audit Review Period (1)	Audit Agency	State/County Agencies Affected	Exception Amount (2)	Records Required to Be Retained
2714-53-SF	Food Stamp Audit Issuance Losses	7/70 - 4/71	USDA/OIG	San Francisco	\$ 3,761.00	D
2714-358-SF	Food Stamp Audit Eligibility	4/75 - 6/75	USDA/OA	San Francisco	\$806,800.00	E
2716-11-SF	Food Stamp Audit Overpayments	9/76 - 5/77	USDA/OA	San Francisco	\$587,000.00	F
2744-61-SF	Food Stamp Investigation	1/23/76	USDA/OA	San Francisco	\$ 5,344.00	E
2747-8-SF	Food Stamp Investigation	8/30/76	USDA/OIG	San Francisco	\$ 1,264.50	D
2749-19-SF	Food Stamp Investigation	12/24/74	USDA/OIG	San Francisco	\$ 1,923.00	D
2799-13-SF	Food Stamp Audit of Issuance Operations of CAHEED	7/71 - 8/78	USDA/OIG	San Francisco	\$ 7,626.00	D
2714-59-SF	Food Stamp Unreconciled Records	8/17/81	USDA/OIG	Santa Clara	\$ 52,768.00	D
2744-98-SF	Food Stamp Investigation	7/22/76	USDA/OA	Santa Clara	\$ 999.95	E
2744-103-SF	Food Stamp Investigation	6/23/77	USDA/OIG	Santa Clara	\$ 1,394.00	D
2744-62-SF	Food Stamp Investigation	1/9/75	USDA/OA	Tulare	\$ 10,332.70	E

- (1) If a single date is listed, it will be the date of the audit report.
 (2) Federal share only unless otherwise noted.
 D Retain Food Stamp Reports, FNS-250.
 E Retain Food Stamp fiscal records.
 F All records identified by the audit.

ATTACHMENT IA

AUDIT REPORT #20144 (7/1/67 - 12/31/70)

Original exception amounts shown. In most cases, final amounts will be substantially smaller.

<u>County</u>	<u>Federal Funds Questioned</u>
Alameda	\$ 272,721
Amador	776
Butte	33,294
Calaveras	1,059
Contra Costa	157,837
El Dorado	16,189
Fresno	139,105
Glenn	1,368
Humboldt	925
Kern	164,468
Kings	22,131
Lake	7,946
Los Angeles	995,435
Madera	28,212
Marin	17,941
Merced	23,693
Monterey	42,278
Napa	8,192
Orange	89,040
Plumas	2,784
Riverside	13,929
Sacramento	180,955
San Benito	3,182
San Bernardino	138,978
San Francisco	105,824
San Joaquin	106,506
San Luis Obispo	13,630
San Mateo	38,867
Santa Barbara	38,450
Santa Clara	291,439
Santa Cruz	49,413
Sonoma	43,889
Stanislaus	86,769
Tehama	5,529
Tulare	48,941
Tuolumne	8,644
Ventura	66,209
Yolo	13,159
TOTAL	\$3,279,707

ATTACHMENT IB

AUDIT REPORT #50264 (1/1/71 - 9/30/71)
Original exception amounts shown. In most
cases, final amounts will be substantially smaller.

<u>County</u>	<u>Federal Funds Questioned</u>
Alameda	\$ 244,351
Amador	951
Butte	14,950
Calaveras	1,814
Contra Costa	75,271
El Dorado	3,406
Fresno	138,238
Glenn	1,622
Humboldt	776
Kings	31,437
Lake	8,216
Madera	17,264
Marin	29,855
Merced	45,688
Monterey	37,248
Napa	6,538
Orange	123,182
Placer	777
Plumas	2,515
Sacramento	174,891
San Benito	4,975
San Luis Obispo	14,202
Santa Barbara	35,001
Santa Clara	245,885
Santa Cruz	26,774
Siskiyou	824
Sonoma	71
Stanislaus	58,320
Tehama	2,269
Tuolumne	4,410
Ventura	77,117
TOTAL	\$1,428,838

AUDIT REPORT #10273 (10/1/71 - 6/30/72)

<u>County</u>	<u>Federal Funds Questioned</u>
Alameda	\$ 224,577
Calaveras	265
Contra Costa	105,124
Del Norte	3,853
Fresno	81,951
Humboldt	23,999
Imperial	14,328
Lassen	2,163
Los Angeles	2,762,983
Madera	8,308
Marin	29,446
Modoc	394
Mono	139
Monterey	36,784
Nevada	6,574
Orange	100,158
Placer	25,544
Riverside	91,787
Sacramento	186,752
San Benito	4,660
San Francisco	175,369
San Luis Obispo	30,511
San Mateo	37,359
Santa Barbara	61,277
Santa Clara	160,168
Shasta	14,988
Siskiyou	6,410
Solano	22,449
Sonoma	24,361
Stanislaus	21,806
Tehama	2,228
Trinity	1,258
Yolo	15,123
Yuba	7,438
TOTAL	\$4,290,534

STATE CONTROLLER'S OFFICE (SCO) AUDITS

Unresolved Audits

The counties on the following lists have unresolved SCO audits. All records pertaining to these audit periods should be retained by the counties until final resolution has been made pertinent to all protested/appealed audit exceptions. The audits are listed in alphabetic order by county. For those counties having more than one unresolved audit, there will be an entry for each audit.

Audits Completed*

<u>County</u>	<u>Audit Period</u>	<u>Date of Audit Report</u>	<u>Amount of Report</u>
Modoc	7/80 - 6/84	4/4/86	\$ 66,474
Napa	7/82 - 6/85	3/28/86	22,802
Nevada	7/80 - 6/84	4/25/86	9,026
San Benito	7/80 - 6/84	4/4/86	18,333
San Luis Obispo	7/80 - 6/84	3/21/86	69,898
Trinity	7/80 - 6/85	4/25/86	2,364

Protested Audits

<u>County</u>	<u>Audit Period</u>	<u>Date of Audit Report</u>	<u>Amount of Report</u>
Alameda	7/78 - 6/81	8/26/83	\$ 6,344,452
Alameda**	7/81 - 6/84	1/31/86	2,987,847
Amador	7/80 - 6/84	12/20/85	41,931
Contra Costa	7/79 - 6/80	1/22/82	665,098
Contra Costa	7/80 - 6/83	10/9/84	2,324,721
Fresno	7/80 - 6/82	9/30/83	382,821

*The final audit report has been issued; but at the time this list was prepared, the protest period was still in process.

**New from ACL 86-18.

STATE CONTROLLER'S OFFICE (SCO) AUDITS

Protested Audits

<u>County</u>	<u>Audit Period</u>	<u>Date of Audit Report</u>	<u>Amount of Report</u>
Imperial	7/80 - 6/84	10/4/85	\$ 225,046
Los Angeles	7/80 - 6/82	12/7/84	19,773,982
Los Angeles Administrative	7/77 - 6/80	6/25/82	21,017,042
Los Angeles Adoptions	7/76 - 6/79	4/10/81	154,619
Los Angeles Adoptions	7/79 - 6/82	8/26/83	719,612
Madera	1/78 - 6/80	7/17/81	25,439
Marin	7/78 - 6/82	1/6/84	1,398,524
Mariposa	7/80 - 6/84	12/13/85	103,912
Mendocino	4/77 - 6/79	11/20/81	486,272
Mendocino	7/79 - 6/82	8/17/84	191,014
Monterey	7/80 - 6/83	3/22/85	2,126,760
Orange	7/79 - 6/81	2/18/83	1,555,045
Orange	7/81 - 6/83	9/19/85	607,274
Placer	7/79 - 6/82	3/2/84	123,213
Riverside	7/77 - 6/79	8/29/80	151,830
Riverside	7/79 - 6/80	11/24/81	109,341
Riverside	7/80 - 6/82	7/11/84	230,604
Sacramento	7/79 - 6/81	6/10/83	275,785
Sacramento	7/81 - 6/83	3/8/85	1,055,916
San Bernardino	7/80 - 6/83	11/21/84	505,374

**New from ACL 86-18.

STATE CONTROLLER'S OFFICE (SCO) AUDITS

Protested Audits

<u>County</u>	<u>Audit Period</u>	<u>Date of Audit Report</u>	<u>Amount of Report</u>
San Bernardino	7/79 - 6/80	5/28/82	\$ 354,720
San Diego**	7/75 - 6/77	5/1/78	427,357
San Diego	7/78 - 6/80	9/18/81	1,032,224
San Diego	7/80 - 6/82	9/5/84	1,176,817
San Francisco	1/77 - 6/79	1/30/81	9,745,728
San Francisco	7/79 - 6/81	2/25/83	5,656,263
San Mateo	7/80 - 6/83	2/1/85	673,867
Santa Clara	4/79 - 6/81	7/23/82	2,634,213
Santa Clara	7/81 - 6/83	12/20/85	947,129
Santa Cruz	7/80 - 6/83	11/7/84	68,358
Sutter	7/78 - 6/82	3/23/84	19,159
Tulare	10/78 - 6/81	1/7/83	248,002
Ventura	7/79 - 6/81	10/22/82	2,112,795
Yolo	1/77 - 6/79	3/21/80	177,122
Yolo	7/79 - 6/84	5/17/85	293,557
Yuba	7/80 - 6/84	6/21/85	21,845

Appealed Audits

Alameda	7/77 - 6/78	10/5/83	\$ 3,015,877
Contra Costa	7/77 - 6/79	3/25/82	1,929,101
Humboldt	4/75 - 9/78	8/16/83	102,593
Los Angeles	7/76 - 6/77	9/24/82	4,453,426

**New from ACL 86-18.

STATE CONTROLLER'S OFFICE (SCO) AUDITS

Appealed Audits

<u>County</u>	<u>Audit Period</u>	<u>Date of Audit Report</u>	<u>Amount of Report</u>
Los Angeles BHI	7/69 - 6/76	1/20/84	\$ 135,873
Los Angeles BHI	7/69 - 6/75	9/8/83	293,349
Merced	4/78 - 6/81	8/19/83	188,468
San Benito**	7/78 - 6/80	4/2/86	7,727
San Mateo	7/76 - 6/78	10/9/80	293,237
Shasta	10/77 - 6/80	7/15/85	318,863
Solano	10/78 - 6/82	6/26/85	1,750,653
Tuolumne**	1/74 - 12/75	10/19/76	2,555
Tuolumne**	1/76 - 6/78	4/29/86	57,507

**New from ACL 86-18.

STATE CONTROLLER'S OFFICE (SCO) AUDITS

In Application

These audits are finalized; actions are now being taken to adjust claims so that there will be a proper state, county, and federal share of costs claimed and to collect or pay any amounts due as a result of the audit.

<u>County</u>	<u>Audit Period</u>
Alpine	7/80 - 6/84
Colusa	7/78 - 6/83
Contra Costa	7/76 - 6/77
El Dorado	10/75 - 6/79
El Dorado	7/79 - 6/82
Glenn	7/75 - 3/78
Glenn	7/78 - 6/81
Humboldt	7/78 - 6/81
Kern	7/79 - 6/82
Kings	7/79 - 6/82
Lake	7/75 - 6/81
Lassen	1/77 - 6/82
Madera	1/78 - 6/80
Monterey	4/78 - 6/80
Nevada	10/76 - 6/80
Napa	1/78 - 6/82
Plumas	1/77 - 6/81
San Joaquin	10/78 - 6/81
San Joaquin	7/81 - 6/83

STATE CONTROLLER'S OFFICE (SCO) AUDITS

In Application

<u>County</u>	<u>Audit Period</u>
Santa Barbara	7/80 - 6/83
Sonoma	7/79 - 6/82
Sutter	10/75 - 9/78
Tehama	7/77 - 6/81
Trinity	4/76 - 6/80
Tuolumne	7/78 - 6/82

STATE CONTROLLER'S OFFICE (SCO) AUDITS

<u>County</u>	<u>Audit Period</u>	<u>Record Destruction Date***</u>
Butte	4/79 - 6/82	5/6/89
Del Norte	7/79 - 6/81	4/29/89
Fresno	7/78 - 6/80	5/5/89
Placer	7/75 - 6/79	4/8/89
San Mateo	7/78 - 6/80	5/29/89
Santa Cruz	10/77 - 6/80	5/19/89
Siskiyou	7/79 - 6/82	5/19/89
Sonoma	1/78 - 6/79	5/20/89
Stanislaus	4/78 - 6/80	5/21/89
Stanislaus	7/80 - 6/83	5/7/89
Tulare	10/76 - 9/78	4/23/89
Yuba	1/77 - 6/80	5/27/89

***These records may be flagged for destruction on the date shown.

benefits of all CWD staff performing EDP developmental project activities to the EDP cost pool and to develop a claiming mechanism for the separate identification of SAWS related expenditures.

Effective with the July - September 1986 quarter, the general requirement that CWD non-EDP staff performing EDP developmental project activities must be assigned to perform EDP activities for four or more consecutive weeks; i.e., must be a part of the person's normal job function/description for four or more weeks, is rescinded. Data processing developmental activities performed by CWD non-EDP staff are to be recorded on the EDP time studies, regardless of the duration of time spent on a developmental project.

Part II: Separation of EDP Activities

The DFA 48 (7/86), Electronic Data Processing Time Study, revision includes the employment services function for the identification of EDP activity associated with an employment services program, most notably, the GAIN Program. In addition, because of the federal and state reporting requirements for a statewide automated system, the revised DFA 48 (7/86) will now capture only the time associated with staff engaged in EDP activities other than SAWS. This time study will now be designated as the All Other EDP Time Study.

In anticipation of the development of subsequent SAWS modules and the need to develop a mechanism for the separate identification of current SAWS activities the DFA 48A (7/86), SAWS-Electronic Data Processing Time Study has been developed.

Both time studies are to be used on a monthly, i.e., continuous basis, effective September 1, 1986. Time spent on maintenance and operations activities, feasibility studies, and activities associated with the development or implementation of a data processing system is to be charged on the appropriate EDP time study; i.e., DFA 48 or DFA 48A.

Copies of the All Other-Electronic Data Processing Time Study, (DFA 48), and the Statewide Automated Welfare System-Electronic Data Processing Time Study, (DFA 48A), are attached. We anticipate that the printed forms will be available for distribution prior to August 1, 1986. If for some reason, counties are not in receipt of the forms by July 28, 1986, counties utilizing CWD-EDP staff and CWD non-EDP staff to perform EDP activities are asked to duplicate a supply for the month of September 1986.

Part III: Who Should Complete the DFA 48 (7/86) and DFA 48A (7/86)

The following staff must complete the EDP timestudies:

- a. Key/data entry operators, programmers, computer operators, data processing technicians and their first-line supervisors, and EDP coordinators/liaisons who are detailed to data processing activities on an ongoing basis with the primary function for performing specific EDP activities. "Primary Function" is defined as performing EDP activities more than 50 percent of an individual CWD employee's time.

- b. Social Services, Eligibility/Nonservices, Welfare Fraud, and Employment Services casework staff and their first-line supervisors, administrative staff, including EDP coordinators/liaisons, who are assigned to perform EDP developmental project activities.
- c. Second-line supervisors and above and clerical staff who are dedicated solely to EDP are to record only their nonallocable time. Their allocable time is to be prorated based on those EDP staff required to time study.
- d. CWD non-EDP clerical staff who perform other non-EDP duties and are assigned to perform EDP developmental activities.

Note:

Non-CWD staff performing EDP activities on behalf of the welfare department are not to complete the DFA 48 or DFA 48A. However, the CWD should continue to require those agencies/vendors to identify their activities or services to function (DFA 48) or by SAWS module (DFA 48A).

Part IV: How To Use the DFA 48 and DFA 48A

A. DFA 48 (7/86) - All Other EDP

The DFA 48 is separated into four categories: Maintenance and Operations, Developmental Projects, Non-EDP Allocable, and Nonallocable. Effective September 1, 1986, CWD staff performing EDP activities, for systems other than SAWS, are to time study on the DFA as follows:

1. Maintenance and Operations (M&O) - Lines A through E

Time is to be charged to the M&O category and identified by function when the time is associated with an ongoing non-SAWS data processing related activity. The functions are defined as follows:

Social Services - Any non-SAWS data processing M&O activity that benefits only the social services function or programs.

Eligibility and Nonservices - Any non-SAWS data processing M&O activity that benefits only the income maintenance function or programs.

Fraud - Any non-SAWS data processing M&O activity that benefits only the fraud function.

Employment Services - Any non-SAWS data processing M&O activities that benefits only the employment services function.

Generic - Any non-SAWS data processing M&O activities that cannot be readily identified to the above functions, or benefits more than one function.

2. Developmental Projects - Lines F through L

Time is to be charged to the All Other-EDP developmental project category when the project(s) is approved as multi-function, single-function-nonallocable, or direct-to-program. A blank line is to be used for each non-SAWS project.

- a. Multi-function or single-function project time is to be identified on the DFA 48 (7/86) by the approved project number and a function designator. The function designators for All Other EDP are as follows:

- Multi-function (M)
- Social Services (S)
- Eligibility and Nonservices (E)
- Fraud (F)
- Employment Services (ES)

- b. Direct-to-Program project time is to be identified on the DFA 48 (7/86) by the approved project number and program.

3. Non-EDP Allocable - Line M

Include the non-All Other EDP time spent by social services, eligibility/nonservices, fraud, and employment services casework staff, casework supervisors, clerical staff and administrative staff who are assigned to perform activities associated with an EDP developmental project. The time spent on activities which are not related to an All Other EDP project would be considered non-EDP allocable.

4. Nonallocable - Line N

Indicate on this line time spent on sick leave, vacation, dock, jury duty, etc.

B. DFA 48A (7/86) - SAWS EDP

The DFA 48A (7/86) is separated into four categories: Maintenance and Operations, Developmental Projects, Non-EDP Allocable, and Nonallocable. Effective September 1, 1986, CWD staff performing EDP activities related to SAWS are to time study on the DFA 48A as follows:

1. Maintenance and Operations (M&O) - Lines A through F

As the various SAWS systems become operational in the counties, time is to be charged to the M&O category and identified by the specific SAWS module. Currently, time is to be charged only to the M&O categories designated for the Central Data Base and Food Stamp On-Line Issuance/Food Stamp Automated Issuance Report. Definitions

of activities to be charged to the other SAWS modules will be provided at a later date. The M&O categories are defined as follows:

- a. Central Data Base (CDB) - Any SAWS data processing M&O activity that benefits only the CDB module.
- b. Automated Eligibility Determination - Intake (AED-Intake) - Any SAWS data processing M&O activity that benefits only the AED-Intake module.
- c. Automated Eligibility Determination - Continuing (AED-Continuing) - Any SAWS data processing M&O activity that benefits only the AED-Continuing module.
- d. Food Stamp On-Line System/Food Stamp Automated Issuance Report - (FSOLIS/FAIR) - Any SAWS data processing M&O activity that benefits only the FSOLIS or FAIR modules.
- e. Automated Benefit Computation (ABC) - Any SAWS data processing M&O activity that benefits only the ABC module.
- f. Generic - Any SAWS data processing M&O activity that cannot be readily identified to the above SAWS modules or benefits more than one SAWS module.

Note:

In counties where Central Data Base non-EDP activities and costs do not meet the EDP requirements contained in this letter but were approved as being in direct support of the Central Data Base module and eligible for reimbursement at the end of the fiscal year under the provisions of the Welfare and Institutional Code, Section 10824 (SB 802), the expenditures are to be reported in the applicable cost pools on the administrative expenditures claim.

Counties are to continue to maintain documentation; i.e., time records to substantiate the claiming of these Central Data Base activities/costs for audit purposes. The use of the time records will be issued in a separate letter.

2. Developmental Projects - Line G through L

Time is to be charged to the SAWS-EDP developmental project category when the project is approved as multi-function, single-function, or direct-to-program. A blank line is to be used for each SAWS module.

- a. Multi-function or single-function SAWS project time is to be identified on the DFA 48A by the approved project number and SAWS module. The module designations are as follows:
 - * Central Data Base (CDB)
 - * Automated Eligibility Determination - Intake (AED-Intake)

- Automated Eligibility Determination - Continuing (AED-Continuing)
- Food Stamp On-Line Issuance System/Food Stamp Automated Issuance Report (FSOLIS/FAIR)
- Automated Benefit Computation (ABC)

Note:

A function designator is to be identified when compiling SAWS-EDP data on the DFA 325.1AA of the administrative expenditures claim. Current SAWS modules impact only the eligibility function.

- b. Direct-to-Program SAWS project time is to be identified on the DFA 48A by the approved project number and module designator.

3. Non-EDP Allocable - Line M

Include on this line the non-EDP time spent by social services, eligibility/nonservices, fraud, employment services casework staff, casework supervisors, clerical staff and administrative staff, who are assigned to perform EDP activities associated with the development of a SAWS module. The time spent on activities which are not related to a SAWS developmental project would be considered non-EDP allocable.

4. Nonallocable - Line N

Indicate on this line time spent on sick leave, vacation, dock, jury duty, etc.

Part V: EDP Cost Allocation

Effective with the July - September 1986 quarter, EDP costs will be separated into two components on the administrative expenditures claim; All Other-EDP (DFA 325.1A) and SAWS-EDP (DFA 325.1AA).

All Other - EDP: Time and costs associated with the All Other-EDP component will be accumulated on the DFA 325.1A. Maintenance and Operations costs are to be pooled on the DFA 327.2 (A, B, C, or D). Developmental project costs are to be separately identified on the DFA 327.2 (A, B, C, or D).

SAWS-EDP: Time and costs associated with the SAWS-EDP component will be accumulated on the DFA 325.1AA. Maintenance and operations costs for each SAWS module are to be separately identified on the DFA 327.11. Developmental project costs for each SAWS module are to be separately identified on the DFA 327.11.

Countywide EDP Costs (A-87): Data processing costs allocated through the countywide cost allocation plan (A-87) will be allocated between the two EDP components (All Other and SAWS) as a Generic cost. This allocation will be derived from the ratios developed from the active cases which benefited from

the EDP system for both components during the quarter. To the extent possible, counties are to identify those cases that benefited from EDP activity during the quarter on both the DFA 325.1A and DFA 325.1AA, EDP Schedules.

SAWS Funding: Currently, FFP is at the 50 percent matching rate for SAWS. The SDSS will notify the counties when approval for enhanced FFP is obtained from the Federal Government.

Federal Requirement of Additional SAWS Data

Based upon the meetings with the Federal Government, additional information pertaining to California's statewide system will need to be obtained from the counties in order to qualify for enhanced FFP. Instructions for gathering the pertinent data are being finalized and will be released to counties at a later date.

Part VI: Fiscal Year 1985/86 SAWS Expenditures

Instructions for identifying fiscal year 1985/86 SAWS expenditures are in the process of being transmitted separately to those counties that have received SDSS approval. The instructions will address the procedures counties are to use in isolating SAWS costs for the purpose of reimbursing those SAWS costs that are eligible for reimbursement under the provisions of SB 802.

Questions pertaining to this letter should be directed to the Fiscal Policy and Procedures Bureau at (916) 445-7046.


ROBERT T. SERTICH

For Deputy Director
Administration

cc: CWDA

Attachments

COUNTY WELFARE DEPARTMENT — ALL OTHER ELECTRONIC DATA PROCESSING TIME STUDY (Effective July 1, 1986)

1. NAME (SURNAME, FIRST)		2. SOCIAL SECURITY NO.												MONTH/YEAR												COUNTY						
3. CLASSIFICATION (WRITE OUT)		4. EMPLOYED <input type="checkbox"/> FULL-TIME <input type="checkbox"/> PART-TIME <input type="checkbox"/> INTERMITTENT												5. EMPLOYEE NO.												6. ITEM NO.		7. PAY LOCATION				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	TOTAL	
MAINTENANCE AND OPERATIONS																																
A	SOCIAL SERVICES																															
B	ELIGIBILITY AND NONSERVICES																															
C	FRAUD																															
D	EMPLOYMENT SERVICES																															
E	GENERIC																															
DEVELOPMENTAL PROJECTS																																
F																																
G																																
H																																
I																																
J																																
K																																
L																																
M	NON-EDP ALLOCABLE																															
N	NONALLOCABLE																															
DAILY TOTAL																																

EMPLOYEE: I hereby certify that this is a true and accurate report of my time, and the functions performed as shown above.

SUPERVISOR: I hereby certify the employee's daily time records have been examined and that to the best of my knowledge and belief, this time record is true and correct, and the functions were performed as shown above.

EMPLOYEE SIGNATURE

DATE

SUPERVISOR'S SIGNATURE

DATE

(INSTRUCTIONS ON BACK)

A. Special Instructions

1. Time studies are to be completed every month by each employee on a continuous basis throughout each day.
2. Hours must be rounded to the nearest quarter hour.
3. Time spent on coffee breaks, etc., except lunch, is to be charged to the last system activity worked on.
4. The total hours worked during the day, excluding overtime, must be shown.
5. Paid holidays shall be treated the same as weekends.
6. The blocks for employee number, item number and pay location are optional for the "All Other EDP" category and may be used for other information the county determines necessary.
7. Non welfare department EDP staff are not required to complete the time study.

B. Staff Required to Time Study

This time study is to be completed by the following department staff engaged in electronic data processing activities, including feasibility studies, development or implementation of an EDP system:

1. Key/Data Entry Operators
2. Programmers
3. Computer Operators
4. Data Processing Technicians
5. First-line EDP supervisors of the above staff. For the purpose of this time study, first-line EDP supervisors shall be defined as any EDP designated staff worker spending 50% or more of their time performing EDP supervisory functions.
6. Clerical or administrative first-line supervisors who are responsible for supervising key/data entry operators and perform other non-EDP duties are not required to time study.
7. Second-line supervisors and above and clerical staff who are dedicated solely to EDP are to record only their nonallocable time.
8. Social services, eligibility, welfare fraud, employment services caseworkers; casework first-line supervisors, clerical or administrative support staff and EDP coordinators/liaisons who are assigned to perform developmental project activities.
9. EDP coordinators/liaisons who coordinate EDP activities for the CWD and perform specific EDP activities; e.g., systems design, computer programming, etc., on an ongoing basis.

C. General Limitations

1. CWD-EDP employees are defined as those staff who are detailed to the data processing functions on an ongoing basis with the primary function and responsibility of performing specific data processing activities. "Primary function" is defined as performing EDP activities more than 50% of an individual's time. Time may be charged to either the M/O or developmental project categories.
2. CWD-non EDP employees are defined as those staff who are assigned to data processing functions on a limited basis with the responsibility to perform specific data processing developmental project activities; e.g., feasibility studies, development or implementation of an EDP system. Time shall be charged only to the developmental project category.
3. CWD-EDP staff must be under the supervision of a person assigned full-time to perform data processing activities with the exception of key/data entry operators who are supervised by clerical or administrative support staff. The clerical or administrative support supervisors who are responsible for other non-EDP duties are exempt from the EDP time study requirement unless assigned to perform EDP developmental project activities.
4. CWD-EDP second-line supervisors and above who are dedicated solely to EDP must prorate their allocable time based on the time of their staff.
5. Clerical staff who are dedicated to work solely on EDP activities are not required to complete the time study. Their allocable time must be prorated based on the time of those EDP staff required to time study. Clerical staff who perform other non-EDP duties and are assigned to perform EDP developmental activities are required to time study.

D. Time Study Instructions

CWD-EDP personnel should record time as follows:

1. MAINTENANCE AND OPERATIONS—LINES A THROUGH E.

Time should be charged to:

- a. Social Services when the data processing activity benefits that function.
- b. Eligibility and Nonservices when the data processing activity benefits that function.
- c. Welfare Fraud when the data processing activity benefits that function.
- d. Employment Services when the data processing activity benefits that function.
- e. Generic when the data processing activity is not identifiable to a function or benefits more than a single function.

2. DEVELOPMENTAL PROJECTS—LINES F THROUGH L

Time should be charged as follows:

- a. Projects approved as multi-function or single-function—nonallocable are to be identified by their approved project number and a function designator. Function designators are as follows:

- Multi-Function (M)
- Social Services (S)
- Eligibility and Nonservices (E)
- Welfare Fraud (F)
- Employment Services (ES)

- b. Projects approved as direct-to-program are to be identified by their approved project number and program.

3. NON-EDP ALLOCABLE—LINE M

Include time spent by social services, eligibility, welfare fraud, employment services caseworkers and their first-line supervisors, clerical or administrative support staff, and EDP coordinators/liaisons (who meet criteria in B.8 above) on those activities which are not related to EDP.

4. NONALLOCABLE—LINE N

Include time spent on sick leave, vacation, dock, jury duty, etc.

COUNTY WELFARE DEPARTMENT — STATEWIDE AUTOMATED WELFARE SYSTEM ELECTRONIC DATA PROCESSING TIME STUDY (Effective July 1, 1986)

1 NAME (SURNAME, FIRST)		2. SOCIAL SECURITY NO.												MONTH/YEAR		COUNTY																
3 CLASSIFICATION (WRITE OUT)		4. EMPLOYED												5 EMPLOYER NO		6 ITEM NO		7 PAY LOCATION														
		<input type="checkbox"/> FULL-TIME <input type="checkbox"/> PART-TIME <input type="checkbox"/> INTERMITTENT																														
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	TOTAL	
MAINTENANCE AND OPERATIONS																																
A	CDB																															
B	INTAKE																															
C	CONTINUING																															
D	FSOLIS/FAIR																															
E	ABC																															
F	GENERIC																															
DEVELOPMENTAL PROJECTS																																
G																																
H																																
I																																
J																																
K																																
L																																
M	NON-EDP ALLOCABLE																															
N	NONALLOCABLE																															
DAILY TOTAL																																

EMPLOYEE: I hereby certify that this is a true and accurate report of my time, and the functions performed as shown above.

SUPERVISOR: I hereby certify the employee's daily time records have been examined and that to the best of my knowledge and belief, this time record is true and correct, and the functions were performed as shown above.

EMPLOYEE SIGNATURE

DATE

SUPERVISOR'S SIGNATURE

DATE

(INSTRUCTIONS ON BACK)

A. Special Instructions (DFA 48A)

1. Time studies are to be completed every month by each employee on a continuous basis throughout each day.
2. Hours must be rounded to the nearest quarter hour.
3. Time spent on coffee breaks, etc., except lunch, is to be charged to the last system activity worked on.
4. The total hours worked during the day, excluding overtime, must be shown.
5. Paid holidays shall be treated the same as weekends.
6. The blocks for employee number, item number and pay location must be identified for "Statewide Automated Welfare Systems (SAWS).
7. Maintenance/Operations and Developmental Project activity is to be shown by the individual module name.
8. Non welfare department EDP staff are not required to complete the time study.

B. Staff Required to Time Study

This time study is to be completed by the following welfare department staff engaged in electronic data processing activities, including feasibility studies, development or implementation pertaining to the SAWS modules:

1. Key/Data Entry Operators.
2. Programmers.
3. Computer Operators.
4. Data Processing Technicians.
5. First-line EDP supervisors of the above staff. For the purpose of this time study, first-line EDP supervisors shall be defined as any EDP designated staff worker spending 50% or more of their time performing EDP supervisorial functions.
6. Clerical or administrative first-line supervisors who are responsible for supervising the above staff and other non-EDP duties are not required to time study, unless performing specific tasks associated with the development of a system module.
7. Second-line supervisors and above and clerical staff who are dedicated solely to EDP are to record only their nonallocable time.
8. Social services, eligibility, welfare fraud, employment services caseworkers; casework first-line supervisors; clerical or administrative support staff and EDP coordinators/liaisons who are assigned to perform developmental project activities. Time is to be charged only to the developmental project category.
9. EDP coordinators/liaisons who coordinate EDP activities for the CWD and perform specific EDP activities; e.g., systems design, computer programming, etc., on an on-going basis.

C. General Limitations

1. CWD-EDP employees are defined as those staff who are detailed to the data processing function on an ongoing basis with the primary function and responsibility of performing specific data processing activities. "Primary function" is defined as performing EDP activities more than 50% of an individual's time. Time may be charged to either the M/O or developmental project categories.
2. CWD-non-EDP employees are defined as those staff who are assigned to data processing functions on a limited basis with the responsibility to perform specific data processing developmental project activities; e.g., feasibility studies, development or implementation of a SAWS module. Time shall be charged only to the developmental project category.
3. Staff must be under the supervision of a person assigned full-time to perform data processing activities with the exception of those Key/Data entry operators who are supervised by clerical or administrative support staff. The clerical or administrative support supervisors who are responsible for other non-EDP duties are exempt from the EDP time study requirements, unless assigned to perform SAWS developmental project activities.
4. CWD-EDP second-line supervisors and above who are dedicated solely to EDP must prorate their allocable time based on the time of their staff.
5. Clerical staff who are dedicated to work solely on EDP activities are not required to complete the time study. Their allocable time must be prorated based on the time of those EDP staff required to time study. Clerical staff who perform other non-EDP duties and are assigned to perform SAWS-EDP developmental activities are required to time study.

D. Time Study Instructions

CWD-EDP personnel should record time as follows:

1. Maintenance and Operations — Lines A through F.

Time should be charged to:

- a. Central Data Base (CDB) when the data processing activity benefits the module.
- b. Automated Eligibility Determination — Intake (AED-Intake) when the data processing activity benefits the module.
- c. Automated Eligibility Determination — Continuing (AED-Continuing) when the data processing activity benefits the module.
- d. Food Stamps On-Line Issuance/Food Stamp Automated Issuance Reporting (FSOLIS/FAIR) when data processing activity benefits the module.
- e. Automated Budget Computations (ABC) when the data processing activity benefits the module.
- f. Generic when the data processing activity is not identifiable to a specific SAWS module or benefits more than one SAWS module.

2. Developmental Projects — Lines G through L. (A blank line is to be used for each SAWS developmental project.)

Time should be charged as follows:

- a. Projects approved as single function — nonallocable are to be identified by the project name, approved project name, and a function designator.
- b. Projects approved as direct-to-program are to be identified by the project name, approved project number and program.

3. Non-EDP Allocable — Line M

Include time spent by eligibility caseworkers, and their first-line supervisors, clerical or administrative support staff and EDP coordinators/liaisons (who meet criteria in B.3. above) on those activities which are not related to EDP.

4. Nonallocable — Line N

Include time spent on sick leave, vacation, dock, jury duty, etc.